

6-4-2001

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
CAP-2

APPLN. NO.
09/736,070

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

APPLICANT
George C. Crane

FILING DATE
December 13, 2000

GROUP ART UNIT
2164

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
LC	5,161,103	11/03/1992	Kosaka et al.	364	408	
	5,237,496	08/17/1993	Kagami et a.	364	401	
	5,299,115	03/29/1994	Fields et al.	364	401	
	5,402,520	03/28/1995	Schnitta	395	22	
	5,444,819	08/22/1995	Negishi	395	22	
	5,521,813	05/28/1996	Fox et al.	364	401	
	5,563,983	10/08/1996	Nozaki et al.	395	23	
LC	5,577,166	11/19/1996	Mizuno	395	22	
LC	5,615,341	03/25/1997	Agrawal et al.	395	210	
	5,622,428	04/22/1997	Bonnet	128	630	
LC	5,712,985	01/27/1998	Lee et al.	395	207	
	5,761,386	06/02/1998	Lawrence et al.	395	23	
	5,761,441	06/02/1998	Bennett	395	235	
	5,761,442	06/02/1998	Barr et al.	395	236	
	5,769,793	06/23/1998	Pincus et al.	600	515	
	5,893,079	04/06/1999	Cwenar	705	36	
	5,946,666	08/31/1999	Nevo et al.	705	36	
	5,974,403	10/26/1999	Takriti et al.	705	412	
	5,978,778	11/2/1999	O'Shaughnessy	705	36	
	6,003,018	12/14/1999	Michaud et al.	705	36	
	6,012,042	01/04/2000	Black et al.	705	36	
	6,035,286	03/07/2000	Fried	705	36	
	6,058,369	05/02/2000	Rothstein	705	10	
	6,058,370	05/02/2000	Church et al.	705	10	
	6,061,662	05/09/2000	Makivic	705	36	
	6,078,904	06/20/2000	Rebane	705	36	
LC	6,088,676	07/11/2000	White, Jr.	705	1	

EXAMINER

DATE CONSIDERED

9/10/05

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

6-4-2001

Sheet 2 of 2

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CAP-2APPLN. NO.
09/736,070INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
George C. CraneFILING DATE
December 13, 2000GROUP ART UNIT
2164

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
KA	Bachelier, L., "Theory of Speculation" (1900), translated in Cootner, P.H., ed., <u>The Random Character of Stock Market Prices</u> , pp. 17-78 (see, esp., n.7, p. 77) (Boness, A.J., translator) (M.I.T. Press, 1964)
	Cavanagh, L.D., "Real-World Option Pricing," <u>Technical Analysis of Stocks & Commodities</u> , pp. 94-97 (May 1966)
	Goodstein, D.L., et al., <u>Feynman's Lost Lecture: The Motion of Planets Around the Sun</u> , pp. 145-70, 179-82 (Cal. Inst. of Tech., 1996)
	James, C., "Problems With Black Scholes: An Intuitive Look," <u>The GFA Analyst</u> , Graduate Finance Association, University of Texas at Austin (March 1996)
	Parabon Computation, Inc., "The Frontier" Application Programming Interface, Version 0.5.0 (October 10, 2000)
	Stachel, J., ed., <u>Einstein's Miraculous Year: Five Papers That Changed the Face of Physics</u> , pp. 77, 85-98 (Princeton University Press, 1998), reproducing Einstein, A., "On the Motion of Small Particles Suspended in Liquids at Rest Required by the Molecular-Kinetic Theory of Heat" (1905)
	Stewart, I., "Putting randomness in order," <u>New Scientist</u> (May 10, 1997)
	Stix, G., "A Calculus of Risk," <u>Scientific American</u> (May 1998)
KA	Woolard, E.W., "Celestial Mechanics," <u>Fundamental Formulas of Physics</u> , Menzel, D.H., ed., vol. 2, pp. 680-96 (1960)

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

4-22-02

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.
CAP-2

APPLN. NO.
09/736,070

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

APPLICANT
George C. Crane

FILING DATE
December 13, 2000

GROUP ART UNIT
2164

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
VC	5,742,071	4/1998	Kamohara et al.	257	17	
VC	5,946,666	8/1999	Nevo et al.	705	36	
VC	6,125,355	9/2000	Bekaert et al.	705	36	
VC	6,175,824	1/2001	Breizman et al.	705	36	
VC	6,272,474	8/2001	Garcia	705	37	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	

EXAMINER

Heidi Berg

DATE CONSIDERED

Sept 10/03

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.